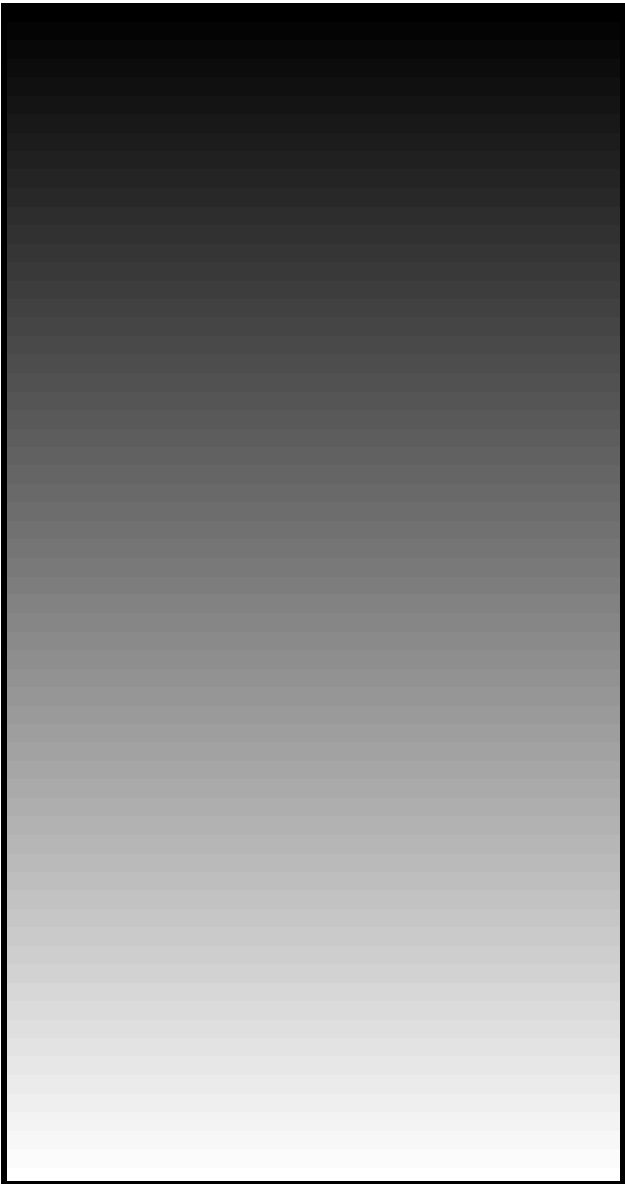


# OJP



## STOP Violence Against Indian Women Discretionary Grant Program

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### **Fiscal Year 2000 Continuation Application Guidelines**

## Continuation Projects

As a final step before submitting your application through the Grants Management System, please use this checklist to ensure that your application is complete.

### ***Have you included:***

- ☐ The ***Application for Federal Assistance*** (SF-424) (Appendix A)?
- ☐ An attached Program Narrative that includes:
  - ☐ An abstract?
  - ☐ An implementation plan description of the proposed project goals?
    - ☐ The number of women and their children who could potentially receive services?
    - ☐ The priority needs related to violence against Indian women?
    - ☐ A detailed action plan?
  - ☐ Information related to Federal funding and activities (coordination of Federal effort)?
  - ☐ At least one letter from a non-profit, non-governmental victim service provider or a letter from women in the community to be served?
  - ☐ A Memorandum of Understanding executed by all tribal project partners applying for grant funds, including the tribal justice agencies and non-profit, non-governmental victim services providers, or governmental victim services programs, or women in the community to be served?
  - ☐ **For Consortia Only:** Tribal Resolutions from member tribes that will participate in the project?
- ☐ An attached and completed ***Budget Detail Worksheet*** (Appendix B), including budget narrative, and breakdown of funding allocations by category (law enforcement, prosecution, victim services and discretionary)?
- ☐ A ***Certification of Compliance with the Statutory Eligibility Requirements of the Violence Against Women Act for Tribal Governments*** (Appendix C)?
- ☐ An ***Assurances*** form (Form 400/3) (Appendix D)?
- ☐ A signed ***Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug Free Workplace Requirements*** form (OJP Form 4016/6) (Appendix E)?
- ☐ A letter to the Assistant Attorney General of the Office of Justice Programs certifying that these funds will ***supplement and not supplant*** existing funds (Appendix F)?

Each of the forms in the Appendices must be signed off by a duly authorized tribal government official through the Grants Management System.

February 2000

Dear Colleague,

On November 29, the President signed the FY 2000 budget which included an appropriation of \$8.27 million for the STOP Violence Against Indian Women Discretionary Grant Program (STOP). The Justice Department is committed to operating on the basis of government-to-government relations with Indian tribal governments. Due to the significant number of existing tribal grantees and limited funding, the Violence Against Women Office can only provide continuation support to current grantees that have successfully implemented the goals and purposes of the STOP Program.

This year the Office of Justice Programs (OJP) requires you to submit your application for funding through the new OJP user friendly **Grants Management System (GMS)**. Access through the Internet to this online application system will expedite and streamline the receipt, review, and processing of your request for funding.

In FY 1999, GMS was implemented as a pilot project for optional electronic submission of applications for funding from the OJP Program Offices including the Corrections Program Office, Drug Courts Program Office, Executive Office for Weed and Seed, Office for State and Local Domestic Preparedness Support, and the Violence Against Women Office. In FY 2000, all applications for OJP Program Office funding will only be accepted electronically through GMS.

Please use the enclosed application guidelines to assist you in preparing your continuation application. Applications must be submitted electronically through the Grants Management System to the Office of Justice Programs no later than April 25, 2000, however, to accommodate those grantees whose project periods have ended, we will **immediately be accepting GMS electronic submission of applications**. Please be advised that it will take at least four weeks from the time we receive your application to process your award.

To learn how to begin your online application process, please see the *Quick-Start Guide to Using GMS* in the enclosed package. A toll-free telephone number has been established for you to receive technical assistance as you work through the online application process, 1-888-549-9901.

You may contact your Program Manager or Paula S. Julian at (202)305-2379 if you have any questions. We look forward to receiving your application.

Bonnie Campbell, Director  
Violence Against Women Office

## Submission of application kit

This year the Office of Justice Programs (OJP) requires you to submit your application for funding through the new OJP user friendly **Grants Management System (GMS)** . Access through the Internet to this online application system will expedite and streamline the receipt, review, and processing of your request for funding.

**In FY 2000, all applications for OJP Program Office funding will only be accepted electronically through GMS .**

To learn how to begin your online application process, please see the *Quick-Start Guide to Using GMS* following. A toll-free telephone number has been established for you to receive technical assistance as you work through the online application process, 1-888-549-9901.

### Quick-Start Guide to Using the Office of Justice Programs Online Grants Management System

- ◆ **Step 1.** Using your established Internet account (\*if you do not have one, see directions below), go to **[www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm)**. **An online GMS Applicant User's Manual is available on this page, and you may link directly** to the OJP Grants Management System (GMS) which will provide online "help" screens
- ◆ **Step 2.** Select "**Logon to the Grants Management System (GMS)**" to apply for OJP Program Office Grant Funding
- ◆ **Step 3.** Click on "**New User? Register Here**"
- ◆ **Step 4.** Follow the onscreen instructions to **register** with the GMS system. After registration, you will **receive confirmation through email** from the Violence Against Women Office that you are eligible to submit an application.
- ◆ **Step 5.** To **submit** your application online, complete the instructions for filling out the 424/Application for Federal Assistance, attach and upload your budget narrative, budget detail, and program narrative in either word processing or spreadsheet files. After submission, you will **receive confirmation through email** that OJP has received your application and you will be given an **application number** for future reference. **For documents that you can not submit electronically through GMS (i.e., Indirect Cost Agreements, MOU/MOAs, support letters), please fax these referencing your application number and grant program to 202/354-4147.**

*\*If you do not already have an Internet account, you must establish one in order to apply online for Office of Justice Programs funding. To do this, call the GMS Hotline at 1-888-549-9901 for assistance.*

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## INTRODUCTION

The STOP (Services•Training•Officers•Prosecutors) Violence Against Indian Women Discretionary Grant Program implements certain provisions of the Violence Against Women Act pursuant to Sections 2001 through 2006 of the Omnibus Crime Control and Safe Streets Act of 1968, as amended by Title IV, Section 40121 of the Violent Crime Control and Law Enforcement Act of 1994, Public Law 103-322. This application kit provides program and application guidelines for FY 2000 grant awards to be administered by the Violence Against Women Office (VAWO), Office of Justice Programs (OJP), U.S. Department of Justice.

The primary purpose of the STOP Violence Against Indian Women Discretionary Grants Program, hereinafter referred to as the Program, is to reduce violent crimes against Indian women. The Program provides Federal financial assistance to Federally recognized Indian tribal governments to develop and strengthen the response of tribal justice systems to violence committed against Indian women. The Program encourages tribal governments both to develop and implement effective strategies tailored to address their unique circumstances in preventing and responding to violent crimes against Indian women, and to develop and enhance services provided to Indian women who are victims of violent crimes.

The Violence Against Women Act of 1994, hereinafter referred to as the Act, reflects a firm commitment toward working to change the criminal justice system's response to violence that occurs when any woman is threatened, physically and/or sexually assaulted, or stalked by someone with whom she has or has had an intimate relationship, with whom she was previously acquainted, or who is a stranger. The Act requires that 4 percent of the amount appropriated each year for the STOP Violence Against Women Formula Grant Program be available to Indian tribal governments.

For FY 2000, Congress appropriated \$206.750 million for the STOP Violence Against Women Formula Grant Program, of which \$8.27 million is allocated to the STOP Violence Against Indian Women Discretionary Grants Program. A portion of the funds provided under this Program has been set aside to provide technical assistance to tribal grantees.

The goal of this Program is to encourage tribal governments to develop and strengthen the tribal justice system's response to violence against Indian women and to improve services to Indian women who are victims of domestic violence, sexual assault, and stalking. The Assistant Attorney General, Office of Justice Programs (OJP), is authorized to award discretionary grants to develop and strengthen tribal justice system strategies to address violence against Indian women, and to develop and strengthen victim services in such cases.

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## BACKGROUND

Historically, the criminal justice system treated domestic violence as a private, family matter. Only in the past two decades has spouse abuse and partner violence been acknowledged as a crime requiring the full force and attention of the criminal justice system. As a result of the awareness of the incidence of the abuse and often murder of women due to domestic violence, advocates for victims of domestic violence worked within their own communities to ensure that abused women were accorded the same legal protections as other crime victims. Advocates – and their partners in the criminal justice system – sought vigorous enforcement of existing laws and enactment of new, stronger laws to address violence against women.

Enhancing the safety of Native women is part of this larger effort to enhance victim safety and offender accountability by supporting the development of zero tolerance to violent crimes committed against women through acts of domestic violence, sexual assault and stalking. Native women advocates were actively involved in the reform efforts from the beginning. Through their participation and leadership national and statewide coalitions against domestic violence and sexual assault were established, in addition to the first Native women's shelter program in Indian Country.

Nationally, approximately 4 million women are abused in their homes each year. It is reported that every 15 seconds a woman is severely battered. American women are raped and/or physically assaulted primarily by intimate partners (76%), such as a current or former husband, co-habiting partner or date.<sup>1</sup> Most violence perpetrated against women is perpetrated by males. Of adult women reporting rape and/or physical assault, 93% were assaulted by a male.<sup>2</sup>

Research indicates that Native Americans are at significantly greater risk of violence than other Americans.<sup>3</sup> One study found the rate of homicide for American Indians/Alaska Natives was approximately two times greater than the national rates in the United States.<sup>4</sup>

Between 1988 and 1991, homicide was the third leading cause of death for American Indians.<sup>5</sup> Of Native women murdered, 31% were killed by a family member, 44% were murdered by an acquaintance or someone they knew;

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<sup>1</sup> Tjaden, Patricia, and Nancy Thoennes, *Prevalence, Incidence and Consequences of Violence Against Women: Findings From the National Violence Against Women Survey*, Research In Brief, Washington, DC: National Institute of Justice, November 1998, NCJ 172837, p. 8.

<sup>2</sup> *Ibid.*, p. 8.

<sup>3</sup> *Ibid.*, p. 6.

<sup>4</sup> Wallace, L.J.D., A.D. Calhoun, K.E. Powell, J. O'Neill, and S.P. James, *Homicide and Suicide Among Native Americans 1979-1992*, Violence Surveillance Summary Series, No. 2, Atlanta, GA: Centers for Disease Control and Prevention, National Center for Injury Prevention and Control, 1996.

<sup>5</sup> *Ibid.*, p. 38, "Table 4. Ten Leading Causes of Death, by Age Group—Native American Females, 1990-1992."

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only 4% were murdered by a stranger.<sup>6</sup>

Nationally, “stalking behavior is not significantly different among racial or ethnic groups...however, it is considerably higher among American Indians and Alaska Natives. The stalking rate is so high against Native women that 17% of them will be stalked during their lifetimes.”<sup>7</sup>

Unfortunately, there are many examples of the barriers Indian women face when confronting domestic violence. American Indian and Alaska Native women and children living on and off reservations, rancherias and pueblos, or in villages frequently do not have access to telephones, transportation or any other form of emergency services. The response time of law enforcement authorities to victims in remote parts of Indian country can be several days. Due to the inadequate number and capacity of jails, many tribal law enforcement officers cannot take perpetrators into custody. Even if they are prosecuted and convicted, many abusers are sentenced only to probation, with no other means to control their violent behavior or jail time. Furthermore, many Indian Nations with law enforcement authority do not have tribal codes defining domestic violence or stalking as criminal conduct. Indian women residing in communities without a domestic violence code frequently do not report these incidents to law enforcement because of the perception that the justice system cannot prevent future violent attacks. The combination of geographic isolation, lack of emergency services, and unfamiliarity with the justice system leaves many women and children without any means of accessing assistance.

As of the end of fiscal year 1999, 267 tribal communities have received funds to develop and implement their strategies to combat violence against Native women. Funding supports initiatives on reservations, pueblos and rancherias, off-reservation service areas, and in Alaska Native villages. Tribal justice systems’ implementation of the Violence Against Women Act takes the form of increased communication and coordination between tribes and their neighboring jurisdictions to enhance the safety of native women and hold accountable perpetrators of domestic violence, sexual assault and stalking. Many of the programs provide direct services to Native women who are victims of domestic violence, sexual assault and stalking. These tribes have been actively creating or updating their tribal codes for effective prosecution; developing policies, protocols and procedures for tribal law enforcement and prosecution; implementing a network of communication through technological enhancements within the tribal justice system so that tribal law enforcement officers can effectively respond to calls from victims of intimate partner violence, sexual assault, or stalking and ensuring that tribal criminal justice professionals receive specialized training to enhance their understanding of the complex dynamics of violence against women.

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<sup>6</sup> *Ibid.*, p. 11.

<sup>7</sup> Tjaden, Patricia, and Nancy Thoennes, *Prevalence, Stalking in America: Findings From the National Violence Against Women Survey*, Research In Brief, Washington, DC: National Institute of Justice, April 1998, NCJ 169592, p. 5.



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**FY 2000  
STOP  
VIOLENCE  
AGAINST  
INDIAN  
WOMEN  
DISCRETIONARY  
GRANT PROGRAM**

In the past four years, there have been significant changes in the approaches tribes are taking to reduce violence against Native women.

The range of challenges tribes have met include developing a meaningful collaboration among tribal justice system components that had never worked together to address violence against Native women; working with Native women in the community to ensure project activities enhance women's safety and ensure offender accountability; creating specialized criminal justice system units in law enforcement agencies and prosecutor's offices to ensure perpetrators accountability; establish alliances with non-Native criminal justice system agencies to ensure that women, Native and non-Native alike, are safe; and understanding the need for community accountability and reformation of the tribal justice system.

In FY 2000, the STOP Violence Against Indian Women Discretionary Grant Program will support continuation or supplemental grants. As in the past, continuation grants are available to tribes that will continue to implement on-going activities and/or expand activities to include for example, developing services and training on sexual assault, and developing regional collaborative partnerships with other tribes and/or local non-Native communities located on or near the tribal service area.

FY 2000 continuation applications are expected to describe how the program strategy and purposes described on pages 5 - 8 of this application kit will be implemented in their respective communities. Applications should include the number of women and their children who could potentially receive services.

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## PROGRAM STRATEGY

**A Coordinated and Integrated Partnership.** This Program recognizes that reducing violence against women and enhancing the safety of Native women necessitate the coordination of the policies and protocols of all tribal justice system components and community service providers. The Program therefore requires a coordinated and integrated approach. For the purposes of this Program, a coordinated and integrated approach entails a partnership between the components of the tribal justice system responsible for handling cases involving violent crimes committed against Indian women, Native women in the community to be served, and the nonprofit, non-governmental service providers who assist Indian women victims of domestic violence, sexual assault, and stalking. If a nonprofit, non-governmental service provider does not exist in the community, tribal governments must consult and coordinate with the tribal government's victim service program and support the development of a Native women's advocacy committee.

A coordinated community response to violent crimes committed against Native women can only be achieved when all partners enter into a formal, respectful collaboration. All parties need to acknowledge that each agency or organization has a special function, a particular authority, and valuable services that it brings to the **joint** effort. Participants in respectful collaborations bring separate organizations into a new structure with full commitment to a common mission. Such relationships require comprehensive planning and well-defined channels of communication at all levels. The collaborative partners should recognize the potential imbalance of power that may arise, particularly when high level appointed or elected governmental officials (or their designees) are asked to participate as equals with representatives from the community, such as advocates affiliated with non-profit, non-governmental victim services programs. In the end, all partners should jointly secure the resources *and* share the results and rewards.

**Mandatory Grant Allocation Formula:** To ensure the development of a coordinated approach, the Violence Against Women Act requires that at least 25 percent of the total grant award be allocated respectively to law enforcement, prosecution, and nonprofit, non-governmental victim services programs. **Tribal governments that do not have law enforcement or prosecution agencies/offices as defined below are not required to allocate funds to these areas.**

Law Enforcement 25%	Prosecution 25%
Victim Services 25%	Discretionary 25%

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*In 1996, the Oglala Sioux Nation used its law enforcement allocation to train tribal police officers and hire specialized domestic violence probation officers to monitor perpetrators' compliance with the conditions of their probation orders. These efforts resulted in 590 arrests for spousal abuse in 1996 alone.*

*Chugachmiut in south central Alaska is using grant funds to train and equip two Sexual Assault Nurse Examiner / Sexual Assault Response Teams comprised of a nurse examiner, an advocate, and a police officer. The nurse examiner conducts the physical examination of a victim and collects forensic evidence, while the advocate is available to support the woman through the examination and the criminal process. The team enhances the continuity of care for women who have been sexually assaulted, thus strengthening the response of the criminal justice system to such cases.*

*The White Mountain Apache Tribe of Arizona uses its prosecution allocation to support an advocate who works within its prosecutor's office to assist and support victims of domestic violence and sexual assault. The advocate enhances the prosecution of violent crimes against women by informing victims about the status of their cases, advocating on their behalf, and assisting in identifying and designing prosecution strategies that will prevent future violent attacks.*

**LAW ENFORCEMENT** — For the purposes of this Program, *law enforcement* is defined as a tribal agency charged with policing functions, including any of its component bureaus (such as governmental victim services programs), but not including volunteer or Bureau of Indian Affairs law enforcement officers. Although BIA officers and volunteers do not meet the definition of law enforcement, tribes are encouraged to include them in project planning, implementation, and evaluation efforts, as well as in any training offered, if appropriate. Allowable purposes for this portion of the award include, but are not limited to, training for law enforcement officers, development of law enforcement protocols for handling domestic violence, sexual assault, and stalking cases, and the creation of specialized units in law enforcement agencies to respond to domestic violence, sexual assault and/or stalking cases.

**VICTIM SERVICES** — For the purposes of this Program, *victim services* is defined as a **nonprofit** native organization not affiliated with tribal government but within the jurisdiction or service area of the tribal government that **assists domestic violence or sexual assault victims**. Where nonprofit, non-governmental victim services do not exist within the jurisdiction or service area of the tribal government, 25 % of the programmatic funds may be allocated to a tribal government victim services agency. Regardless of the type of victim services program, 25% of the funds must be allocated to services for women victims of violence. To meet the victim services allocation requirement of the Program, tribal grantees have used grant funds to support battered women's shelters, such as the White Buffalo Calf Women's Shelter located on the Rosebud Reservation in South Dakota, the Osage Counseling Center Shelter located on the Osage Nation Reservation in Oklahoma, and the Cangleska Shelter located on the Pine Ridge Reservation in South Dakota.

**PROSECUTION** — For the purposes of this Program, *prosecution* is defined as any tribal office or agency charged with direct responsibility for prosecuting criminal offenders, not including contracted prosecutorial services or courts that serve a prosecutorial function. Allowable purposes for this portion of the award include, but are not limited to, training for tribal prosecutors on domestic violence, sexual assault, and stalking and hiring prosecutors and/or support staff to handle domestic violence, sexual assault, and/or stalking cases.

**DISCRETIONARY** — Tribal governments may use the *discretionary* portion of a grant award (i.e., the 25% that is not designated specifically for law enforcement, prosecution, or victim services) to address any or a combination of the above purposes, as well as court-based initiatives (e.g., training for tribal court judges and personnel and/or the development and implementation of judicial procedures or enhancement of criminal sanctions) and probation services and supervision. Batterer re-education/intervention programs also may be supported through the discretionary portion of a grant award; however, these programs must be part of a graduated range of sanctions that use the coercive power of the tribal justice system to hold abusers accountable for their criminal actions and for changing their behavior. For

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instance, a tribal court judge could sentence a batterer to supervised probation with a condition that he complete a 26-week batterer's program. The penalties would become more severe if the batterer fails to comply with the court's order.

## PROJECT PRODUCTS

The Program offers an opportunity to learn about promising approaches and practices utilized by various tribal justice systems and Indian victim services programs in preventing and assisting Indian women victimized by violent crimes. Currently there are few resource materials describing programs and approaches designed specifically to address violence against Indian women. The Program therefore requires tribal governments that receive grants to develop a product that can be shared with other tribal governments. The products generated through the Program will become part of a package of resource materials available to tribal governments participating in the Program.

## SCOPE OF PROGRAM

**Authorized Program Purposes.** Tribal governments may use grant funds for the following purposes:

- ☐ training tribal law enforcement officers and prosecutors to identify and respond more effectively to violence against Indian women, including sexual assault, domestic violence, and stalking;
- ☐ developing, training, or expanding specialized units of tribal law enforcement officers and prosecutors that target violence against women, including sexual assault and domestic violence;
- ☐ strengthening tribal courts' adjudication of violence against women through developing, training and expanding tribal court judicial procedures to protect women abused by an intimate partner, enhancing the range of sanctions applied to a batterer in a criminal case and strengthening the probation department's ability to monitor convicted batterers;
- ☐ developing and implementing more effective police and prosecution policies, protocols, orders, and services specifically dedicated to preventing, identifying, and responding to violence against Indian women, including sexual assault and domestic violence;
- ☐ developing, installing, or expanding data collection and communication systems, including computerized systems that link tribal police, prosecutors, and courts within the tribe, to other tribes or states, or that are designed to identify and track arrests, protection orders, violations of protection orders, prosecutions, and convictions for violent crimes against women, including sexual assault and domestic violence;
- ☐ developing, enlarging, or strengthening victim service programs designed to assist adult Indian women, including sexual assault and domestic violence programs; developing or improving delivery of victim services to language minorities and the disabled; providing specialized domestic violence court advocates; and increasing reporting and reducing attrition rates for cases

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involving violent crimes against Indian women, including sexual assault and domestic violence; and

☐ developing, enlarging, or strengthening programs that address the crime of stalking committed against Indian women.

Grant funds may **not** be used to:

☐ support projects that do not enhance the safety of women or address violence against Indian women;

☐ pay for forensic medical examinations for victims of sexual assault;

☐ reimburse victims for out-of-pocket costs of forensic medical examinations;

☐ replace funds that the tribal government already is obligated or funded to pay;

☐ support juvenile justice and delinquency prevention programs;

☐ support chemical dependency or alcohol abuse programs that are not an integral part of batterer intervention programs; or

☐ support services to children.<sup>8</sup>

**Activities That May Compromise Victim Safety.** Victim-centered programming is the cornerstone of a coordinated community response. Experience has shown that certain practices compromise the safety of women rather than enhance it. For example, forcing a battered woman to testify against her abusive partner may place her at greater risk of continuing or escalating violence. Some responses by the legal system may minimize or trivialize the offender's criminal behavior. Accordingly, consistent with the goals of assuring victim safety and holding perpetrators of domestic violence, sexual assault and stalking accountable, applicants are discouraged from proposing any of the activities listed below:

☐ Offering perpetrators the option of entering pre-trial diversion programs. Diversion programs and alternative dispositions can send a message to victims and perpetrators that partner abuse is a less serious crime than comparable crimes involving non-intimates. These programs also become problematic when they are of a relatively short duration, do not require that the offender's behavior be monitored regularly, or are used merely as a means of managing the docket rather than serving the interests of justice.

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<sup>8</sup> Tribal governments may recognize a need to allocate a combination of discretionary and victim services funds to enhance victim services with programming for children; however, children's services supported with Program funds must show an inextricable link and be the direct result of providing services for a woman. For example, Program funds may support the expansion of battered women's shelter services to include programs for children of the battered women residing in the shelter. Program funds may **not** be used to support services that focus exclusively on children or to develop sexual assault or domestic violence prevention curricula for schools.

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❑ Mediation or counseling for couples as a systematic response to domestic violence. Mediation and couples counseling imply that both parties are responsible for the violent behavior of the perpetrator or primary aggressor. It is wholly inappropriate to sanction the victim or hold her equally accountable for the offender's behavior. Furthermore, mediation requires two parties with equal power to voluntarily reach an agreement about the issue at hand. In abusive relationships, the power and control exercised by batterers over time leaves women in a state of constant fear, dependency, and weakness. This power imbalance makes it nearly impossible for any agreement between the two parties to be voluntary.

❑ Batterer treatment programs that do not use the coercive power of the tribal justice system to hold batterers accountable for their behavior. Batterer re-education programs funded through the Program must be part of a graduated range of sanctions that use the coercive power of the tribal justice system to hold abusers accountable for their criminal actions and that requires batterers to take responsibility for their violence and for changing their behavior. Programs that focus only on controlling anger and impulses, addressing alcohol and drug abuse, managing emotions, developing communication skills and dealing with stress are not designed to hold batterers to this level of accountability.

❑ Procedures that require battered women to testify against their abusers or that impose other sanctions on them. Law enforcement, prosecutors, and other criminal justice professionals should be trained in how to best ensure a victim's safety. They should work closely with victims to help guide the multitude of decisions that might be needed to ensure successful prosecutions and the victim's' safety and well-being.

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**PROGRAM  
ELIGIBILITY**

**Eligible Applicants.** Federally recognized Indian tribal governments are eligible to apply for grants to address violence against Indian women through this Program. (See DEFINITION of *Indian Tribe* on page 27.) In reaffirming the United States' unique relationship with Native American tribal governments, Executive and Justice Department Policy requires the Office of Justice Programs to work on a government-to-government basis with Indian Tribes.<sup>9</sup>

**Consortium Grantees.** Tribes participating in the services provided by a currently funded consortium are eligible to apply for funding through this Program. Any *organized group or community of Indians* or a consortium representing several Indian tribal governments that requests funding must submit a tribal resolution from each constituent tribal government that would participate in the activities outlined in the application.

Applicants must demonstrate that the proposed project was developed in consultation with non-profit, non-governmental Indian victim services programs, including sexual assault and domestic violence victim services providers, to the extent that they exist, or with governmental victim services and women in the community to be served, and that such agencies or individuals will participate in the development and execution of the implementation plan.

**Types of Applicants.** In FY 2000, OJP's Violence Against Women Office will accept applications for the STOP Violence Against Indian Women Discretionary Grant Program from *current grantees*.

**Current Grantees.** *Current grantees* include Federally recognized tribal governments or consortia representing tribal governments that received an award(s) through the STOP Violence Against Indian Women Program in past fiscal years.

**Certification of Eligibility.** Tribal governments must certify compliance with the statutory eligibility requirements of the Violence Against Women Act, which requires tribal governments to pay all out-of-pocket costs of forensic medical examinations for sexual assault victims and, where applicable, the filing and service fees for domestic violence cases. Appendix C contains the *Certification of Compliance with the Statutory Eligibility Requirements of the Violence Against Women Act for Tribal Governments* that each Indian tribe must sign and submit to demonstrate its compliance with these requirements.

**Forensic Medical Examination Payment Requirements for Victims for Sexual Assault.** (See DEFINITION of *forensic medical examination* on page 27). An Indian tribe is in compliance with the forensic medical examination payment requirement if the tribal government pays the full out-of-pocket costs of forensic medical examinations for victims of sexual assault. *Full out-of-pocket costs* means any expense that may be charged to a victim in

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<sup>9</sup> President's Memorandum on Relations with Tribal Governments, April 29, 1994, 3 C.F.R. 1007 (1995) and Department of Justice Policy on Indian Sovereignty and Government-to-Government Relations, 61 Fed. Reg. 29424 (June 1, 1995).

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connection with a forensic examination for the purpose of gathering evidence of a sexual assault (e.g., the full cost of the examination or a fee established by the physician or facility conducting the examination). For individuals covered by insurance, *full out-of-pocket costs* means any costs the insurance does not pay. A tribal government or another entity must:

- ☐ provide such examinations to victims free of charge;
- ☐ arrange for victims to obtain such examinations free of charge; or
- ☐ reimburse victims for the cost of examinations if:
  - ☐ the reimbursement covers the full out-of-pocket costs of such examinations, without any deductible requirement or maximum limit on the amount of reimbursement;
  - ☐ the governmental entity permits victims to apply for reimbursement for up to one year from the date of the examination;
  - ☐ the governmental entity provides reimbursement to the victim not later than 90 days after written notification of the victim's expense; and
  - ☐ the governmental entity provides verbal information at the time of the examination to all victims, including victims with limited or no English proficiency or those whose primary language is not written, regarding procedures to obtain reimbursement.

**Filing Costs for Criminal Charges.** Additionally, a tribal government must certify that its laws, policies, and practices do not require, in connection with the prosecution of any misdemeanor or felony domestic violence offense, that an abused person bear the costs associated with filing criminal charges against a domestic violence offender or the costs associated with the issuance or service of a warrant, protection order, or witness subpoena.

Applications requesting funding must also demonstrate that:

- ☐ the funds requested will be used for one or more of the purposes described previously in the section entitled "Program Requirements";
- ☐ the proposed project was developed in consultation and coordination with nonprofit, non-governmental Indian victim services programs, including sexual assault and domestic violence victim services providers, to the extent that they exist, or with governmental victim services programs and women in the community to be served, and that such agencies or individuals will participate in the development and execution of the implementation plan;
- ☐ tribal governments with law enforcement and/or prosecution agencies/offices will allocate at least 25% of the amount requested, without duplication, to each of the following three areas: law enforcement,



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prosecution, and victim services;

☐ tribal governments without law enforcement and/or prosecution agencies/offices will allocate at least 25% of the amount requested to nonprofit, non-governmental or tribal victim services designed to assist Indian women who are victims of violent crimes; and

☐ Federal funds received through this Program will be used to supplement—not supplant—non-Federal funds that would otherwise be available for activities funded through this Program.

## AVAILABILITY OF FUNDS

The appropriation for the STOP Violence Against Indian Women Discretionary Grant Program in Fiscal Year 2000 is \$8.27 million.

**Award Period.** The award period for these grants is at least one year.

**Award Amount.** Requests for continuation or supplemental funding must be reasonable and commensurate to the number of women and their children to be served. Include the number of women and their children who could potentially receive services within the program narrative.<sup>10</sup>

## REVIEW PROCESS

The STOP Violence Against Indian Women Discretionary Grant Program is a competitive program. The Violence Against Women Grants Office will carefully review each application for FY 2000 funding. The information provided in the application will be reviewed against the selection criteria established for the Program. The applications that demonstrate the greatest promise for enhancing the response for tribal communities violence against Indian women will be recommended to the Assistant Attorney General of the Office of Justice Programs for funding in FY 2000.

## REQUIREMENTS FOR ALL APPLICANTS

**How to Apply.** Applicants must submit a fully executed application to the Violence Against Women Office through the **Grants Management System (GMS)**. All applicants must include the following, in the order listed:

☐ Completed Application for Federal Assistance (Standard Form 424) (Appendix A)<sup>11</sup>;

☐ A 1-page project abstract summarizing the goals and objective of the grant request);

☐ Program narrative requirements (criteria and page limits are presented on

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<sup>10</sup> Services provided to children with Program funds must show an inextricable link and be the direct result of providing services to the female caretaker.

<sup>11</sup> For purposes of the SF-424, the **Catalog of Federal Domestic Assistance (CFDA)** number for this Program is **16.587**, and the title is Fiscal Year 2000 Violence Against Indian Women Discretionary Grant Program (Block 10). The cognizant Federal agency and fiscal year for the tribal government should be listed in Block 11 of the form. A sample of a completed SF-424 is included in Appendix A. For Federally recognized Indian tribes, where most of the Federal dollars come from the Department of the Interior, DOI would be the cognizant Federal audit agency. An Indian tribal government's fiscal year is its 12-month accounting period.

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pages 14 through 17 of this application kit);

☐ At least 1 letter from a non-profit, non-governmental victim services provider, governmental victim services program, or a letter from women in the community to be served, describing their participation in the planning and/or implementation of the project;

☐ A Memorandum of Understanding created by the chief executive officers of all tribal project partners applying for grant funds, including collaborating tribal justice agencies and victim services providers, (or women in the community to be served), documenting their commitment to participate in the project and describing the role each will play;

☐ **For Consortia Only:** Tribal Resolutions from member tribes receiving services from grant activities outlined in the proposal.

☐ A detailed budget worksheet and narrative (see the format presented in Appendix B);

☐ A signed Certification of Compliance with the Statutory Eligibility Requirements of the Violence Against Women Act for Tribal Governments (Appendix C);

☐ An Assurances form (OJP Form 4000/3) (Appendix D); and

☐ Signed Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug Free Workplace Requirements form (OJP Form 4016/6) (Appendix E); and

☐ A letter to the Assistant Attorney General of the Office of Justice Programs certifying that these funds will **supplement and not supplant** existing funds (Appendix F).

**Application Due Date.** Applications must be received by the close of business (5:30 p.m. EST) on April 25, 2000 through the **Grants Management System (GMS)**.

**Contact.** For additional information, please contact your Program Manager or Paula S. Julian at the Violence Against Women Office at (202) 307-6026.

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## IMPLEMENTATION & ENHANCEMENT GRANTS

Implementation and enhancement grants are available to current grantee tribes that have completed their current projects and seek support for on-going and/or expansion grant activities for at least an additional 12 months. Priority will be given to programs running out of dollars by September 30, 2000. There is no specific amount for which eligible jurisdictions may apply. Applicants should carefully consider the resources needed to successfully implement the projects they propose and present a realistic budget that accurately reflects project costs. The proposed projects for FY 2000 should build upon the projects and goals accomplished during the previous project periods.

**Purpose and Goals.** Continuation grants are designed to enable current grantees to continue or enhance activities and further build the tribe's capacity to ensure the safety of women begun under previous awards.

**Application Contents.** A fully executed application must include the following:

**1. Program Narrative.** The Program Narrative, which may not exceed 10 double-spaced typed pages (including the 1-page abstract) using 12 point type and must be printed on one side of 8½ x 11 inch paper, must include the following:

☐ *Abstract (not to exceed 1 page)* — The abstract should present a summary of the proposed project and how it fits into the tribal government's overall strategy to reduce violent crimes committed against Indian women.

☐ *Proposed Implementation Plan (not to exceed 5 pages)* — The implementation plan should identify:

- ☐ the number of Indian women and their children who could potentially receive services (distinguish between tribal members and non-tribal members);
- ☐ the project goals;
- ☐ why continuation of the project is necessary and how the proposed activities would build on the tribe's accomplishments during the previous project period;
- ☐ a detailed action plan that describes the project(s) the grant would support, including time line and lead agencies;
- ☐ the individuals and agencies collaborating on the project;
- ☐ the staffing needs, including job descriptions identifying the responsibilities of each proposed staff position, and specifying the qualifications that would be required of key staff conducting and managing the proposed project(s), ***particularly training and***

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***experience in addressing domestic violence, sexual assault and/or stalking;***

☐ If the application is submitted on behalf of a tribal consortium, the role and responsibilities of each member tribe, including which tribe will be fiscally and programmatically responsible for the grant. Resolutions demonstrating support for the project(s) from the member tribes must be submitted with the application.

☐ *Report of Current Project Activities (not to exceed 2 pages)* — a description of the progress made as a result of receiving grant funds. List completed projects, and describe the status of any projects not currently completed. Describe the progress achieved as a result of the previous grant in increasing the coordination of tribal justice system components and victim service providers to improve services to Indian women who are victims of domestic violence, sexual assault, and stalking. Specify the number of women served during the project period.

☐ *Project Product Status Report (not to exceed 1 page)* — A description of the product(s) developed during the previous period (e.g., training materials, protocols, or handbooks), how are they being used, and when copies were or will be submitted to OJP.

**2. Letters From Victim Services Programs** — Documentation from nonprofit, nongovernmental victim services programs describing their participation in developing the application and their commitment to participate in developing the implementation plan. If victim services programs do not exist, a letter to this effect from women in the community to be served must be submitted with the application.

**3. Memorandum of Understanding** — Each application must include, as an attachment, a Memorandum of Understanding created and signed by the chief executive officers of all tribal project partners applying for grant funds, including criminal justice agencies and victim services programs (or women in the community to be served) that will collaborate to plan, develop and implement the project. The Memorandum of Understanding must:

☐ provide a brief history of the collaborative relationship among the partners, including when and under what circumstances the relationship began and when each partner entered into the relationship;

☐ specify the extent of each party's participation in developing the application;

☐ clearly state the roles and responsibilities each organization or agency would assume to ensure the development of a meaningful implementation plan;

☐ identify the representatives of the team who would be responsible for

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planning, developing and implementing project activities, and describe how they would work together and with project staff;

☐ indicate approval of the proposed project budget by all signing parties; and

☐ describe the resources each partner would contribute to the project, either through time, in-kind contributions, or grant funds (for example, office space, project staff, training, etc.)

Letters of support may not be submitted in lieu of the Memorandum of Understanding.

**4. Coordination of Federal Efforts** — Applicants must provide the following information as an attachment:

☐ other active Federal grant awards (from the Department of Justice or otherwise) already supporting this or related efforts (for a *DEFINITION of related efforts* see at page 27);

☐ pending application(s) for Federal money for this or related efforts; and

☐ how the activities supported by these other Federal grants would be coordinated with the funding sought through this application.

For each source of Federal funding, include the program/project title; the Federal grantor agency; the Federal award amount; and a very brief description of the project purpose. This information is requested to encourage better coordination among Federal agencies in addressing State, local and tribal needs.

**5. Budget Detail Worksheet & Narrative** — Estimated costs for planning and implementing the program goals. The budget must be complete, reasonable, and cost-effective in relation to the proposed project activities. The budget should provide the basis for the computation of all project-related costs. It should cover the costs of all components of the project and clearly identify costs attributable to the project evaluation. **In addition to a budget, the applicant should include the breakdown of funds for each of the following categories: law enforcement, prosecution, and victim services.** A Budget Detail Worksheet has been included in Appendix B. The budget should describe clearly:

☐ the proposed amount and uses of grant funds over the grant period;

☐ the proposed amount, sources, and uses of non-Federal expenditures over the grant period;

☐ an explanation of how the applicant's match will be made;

☐ an explanation of the administrative expenses; and

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□ an explanation of how the amounts of the specific budget items were determined.

Attendance at training meetings and Promising Practices Women are Sacred Conferences that will be sponsored by the Office of Justice Programs are mandatory for all grant recipients. At least \$9,000 must be set aside to pay for the travel costs of five tribal representatives to attend each meeting. A sample travel budget for these costs is included in Appendix B. **For Alaska Native Tribal Governments Only:** At least \$12,000 must be set aside to pay for the travel costs of five representatives of Alaska Native tribal governments to attend VAWO mandated training meetings and conferences.

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**BUDGET  
INFORMATION**

**Administrative Funds.** Tribal governments may use up to 5% of the award amount for costs incurred to administer the grant, including tribal government review, processing, monitoring, progress and financial report review, technical assistance, grant adjustments, accounting, auditing, and fund disbursement to subgrantees. This option is available to tribal grantees only and does not apply to tribal subgrantees. Allowable costs under administrative funds are the same as those for the Program. Tribal governments are not required to match the funds allocated for administration of the grant. If the tribal government does not need 5% of the grant award for administrative purposes, the funds should be used to support project activities. Neither administrative costs nor indirect costs may be included as part of matching funds. A breakdown and details on how the administrative funds will be used must be included in the Budget Detail Worksheet included in Appendix B.

**Indirect Cost Agreements.** Indirect costs are those costs of an organization that are not readily assignable to a particular project, but are necessary to the operation of the organization and the performance of the project. The cost of operating and maintaining facilities, depreciation, and administrative salaries are examples of the types of costs generally treated as indirect costs. An indirect cost rate and cost allocation plan must be on file with or submitted to and approved by the cognizant Federal agency, and a copy must be submitted with the application. The cognizant Federal agency is generally determined based on the preponderance of Federal dollars received by the grantee. For most Indian tribes, the cognizant Federal agency is the Department of the Interior. Tribes may charge its Federally approved indirect cost rate to this grant. Submit a copy of the most current Indirect Cost Agreement. Neither administrative costs nor indirect costs may be included as part of matching funds.

Discretionary grant funds are governed by the provisions of the government-wide Common Rule (A-102) and Circulars No. A-87 ( *Cost Principles for State, Local, and Indian Tribal Governments* , revised May 17, 1995); A-102 to Federal Agencies on Grants and Cooperative Agreements (revised March 11, 1988); and A-133 ( *Audits of States, Local Governments, and Non-profit Organizations* ), as applicable to financial assistance. Additional information and guidance are contained in OJP's *Financial Guide*. The *Financial Guide* includes information on allowable costs, methods of payment, audit requirements, accounting systems, and financial records. Copies of the *Guide* are available from the Department of Justice Response Center (1-800-421-6770) and also through the Internet on the OJP Home Page:

<http://www.ojp.usdoj.gov/OC/FinGuide/guide.htm>

**Match Requirements.** A grant made under this Program may not cover more

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than 75% of the total costs of the project(s) funded. Funds allocated for administration of the grant, indirect costs, conference travel as mandated by the Violence Against Women Office, and nonprofit, nongovernmental victim services are not required to be matched under this Program. The application must identify the source of the 25% non-Federal portion of the budget and how the match funds will be used. Tribal governments may satisfy this match requirement with either cash or in-kind services.

The purpose of matching funds is to augment the amount of resources available to the project from grant funds. The costs of activities counted as match must be directly related to the project goals and objectives and should be included as part of any evaluation or assessment. For example, if STOP funds are used to hire a second victim advocate in a prosecutor's office to expand the availability of services to battered women and sexually assaulted women, the time and activities of the original victim advocate may be considered as cash match. Both advocates' time devoted to grant-related activities must be documented in an auditable manner. If half of a prosecutor's time is supported with grant funds, that prosecutor must track ALL of his or her time to demonstrate that 50% of it was devoted to the grant-funded project. In-kind match must be documented in the same manner as grant-funded activities.

**Source of Match.** The source of the 25% non-Federal portion of the budget is governed by OJP's *Financial Guide*. The following restrictions on match apply to this Program:

☐ Match cannot be derived from other Federal funds, unless those funds are appropriated by the Congress for the activities of any agency of an Indian tribal government or for the activities of the Bureau of Indian Affairs performing law enforcement functions on any Indian lands (§ 2002(g) of Title IV - Violence Against Women Act). In this case, those Federal funds may be used to provide the matching share of the cost of programs or projects funded.

☐ Match may be passed on to all subgrantees, with the exception of nonprofit, nongovernmental victim services programs.

**In-Kind Match.** In-kind match may include donations of expendable equipment; office supplies; workshop or classroom materials; work space; or the monetary value of time contributed by professional and technical personnel and other skilled and unskilled labor, if the services provided are an integral and necessary part of a funded project. The value placed on loaned or donated equipment may not exceed its fair rental value. The value placed on donated services must be consistent with the rate of compensation paid for similar work in the organization or the labor market. Fringe benefits may be included in the valuation. Volunteer services must be documented and, to the extent feasible, supported by the same methods used by the recipient organization for its own employees. The value of donated space may not exceed the fair rental value of comparable space, as established by an independent appraisal of



comparable space and facilities in a privately owned building in the same locality. The basis for determining the value of personal services, materials, equipment, and space must be documented.

Sample Match Calculation Allocating 25% to Nonprofit, Nongovernmental Victim Services Providers:

<b>Federal Award Amount</b>	<b>\$90,000</b>
(-) Administrative Funds (5 %)	\$ 4,500
(-) Indirect Cost Rate	\$ -- ,----
(-) Travel to Grantee Meetings	\$12,000
<b>(=) Program Funds</b>	<b>\$73,500</b>
(-) Nonprofit Victim Services (25%)	\$18,375
<b>(=) Federal Share to be Matched</b>	<b>\$55,125</b>
(÷) divide by 75%	÷ .75
Adjusted Total Project Costs	\$73,500
(×) multiply by 25%	× .25
<b>(=) Required Match</b>	<b>\$18,375</b>

Sample Match Calculation Allocating 25% to Tribal Governmental Victim Services Programs:

<b>Award Amount</b>	<b>\$90,000</b>
(-) Administrative Funds (5 %)	\$ 4,500
(-) Indirect Cost Rate	\$ -- ,-----
(-) Travel to Grantee Meetings	\$12,000
<b>(=) Federal Share to be Matched</b>	<b>\$73,500</b>
(÷) divide by 75%	÷ .75
<b>(=) Adjusted Total Project Costs</b>	<b>\$98,000</b>
(×) multiply by 25%	× .25
<b>(=) Required Match</b>	<b>\$24,500</b>

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**Allocation of Funds.** The application must reflect that 25% of the programmatic funds available through the grant will be allocated, without duplication, to each of the following areas: prosecution; law enforcement; and nonprofit, nongovernmental victim services. This requirement is not applicable to tribal governments that do not have law enforcement and/or prosecution, as defined previously. Every grantee must spend 25% of its programmatic funds on victim services. The remainder of the funds must be spent to address the purposes of the Program described previously. A specific budget for each of the required 25% program allocations and any proposed subgrants must be included in the application at the time of submission. Administrative funds, indirect costs, and travel costs for the OJP-required meetings are not to be included in the 25% allocations to law enforcement, prosecution, and nonprofit, nongovernmental victim services.

Indian tribal governments allocating funds to nonprofit subgrantees must fulfill the requirements of OMB Circular A-110, *Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Nonprofit Organizations*; A-122, *Cost Principles For Nonprofit Organizations*; and A-133, *Audits of States, Local Governments, and Non-profit Organizations*.

In addition to the Budget Detail Worksheet in Appendix B, the application must include a specific budget breakdown of the 25% allocations to the law enforcement; prosecution; nonprofit, nongovernmental victim services; and discretionary funding categories. The breakdown must show:

☐ The exact amount of the programmatic funds being allocated to law enforcement; prosecution; nonprofit, nongovernmental victim services; and discretionary projects. **If nonprofit, nongovernmental victim services do not exist within the jurisdiction of the tribal government, the exact amount of the programmatic funds that will be allocated to governmental victim services must be provided.**

☐ The exact amount of the match (at least 25%) and the source of the match that will be provided to the law enforcement, prosecution, and discretionary categories. **The exact amount of the match and the source of the match to victim services must be provided only if the victim services program is a governmental organization. Clearly identify if the victims services is a non-profit, non-governmental provider or a tribal department.**

## PROGRAMMATIC REQUIREMENTS

**Participation in Office of Justice Programs Activities.** The Office of Justice Programs sponsors activities designed to support the successful implementation of this Program.

☐ **Programmatic Training/Capacity Building Sessions.** Grant recipients must attend specialized training sessions, including Promising Practices

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Women are Sacred Conferences that will be sponsored by the Office of Justice Programs during the grant period. The goal of these sessions are to assist grantees in the development of their projects and provide a review of the fiscal requirements of the Program. **By accepting an award, a tribe commits to participating in training sessions.** Grant recipients must allocate travel dollars for this purpose set aside in each grantee category to pay for the costs to attend these training sessions. (See Sample Travel Budget in Appendix B).

☐ **Continuation Projects.** Training/capacity building sessions will include training on the safety and accountability audit as a guide to assessing institutional responses to domestic violence; and the best practices of tribal governments and specialized topic areas. Specialized topic areas include the full faith and credit provision of the Violence Against Women Act as it pertains to tribal governments; issues related to the prosecution and judicial management of cases involving violence against Indian women; tribal law enforcement responses to violence against Indian women; and advocacy for victims of such violence.

Each grantee is required to send a five-person team to each programmatic training session. The team should include tribal representatives providing services to adult Native women victimized by violent crime or handling cases involving domestic violence, sexual assault, or stalking, including tribal law enforcement officers; prosecutors; judges; tribal leaders; and nonprofit, nongovernmental victim services programs and women's advocates. Prior to each training session, grant recipients must provide a list of the names and positions of the tribal representatives attending the training to the Violence Against Women Office. The individuals who attend the programmatic training sessions on behalf of their respective tribal governments should be the same individuals responsible for developing and implementing the tribe's implementation plan.

☐ **Fiscal Training Session.** The Office of Justice Programs' Office of the Comptroller conducts two-day training sessions on fiscal issues essential to the financial management of all awards. The tribal fiscal officer handling the STOP Violence Against Indian Women Discretionary Grant is required to attend a training session.

**Evaluation.** An evaluation of the STOP Violence Against Indian Women Program is underway. Tribal grantees must agree to cooperate with this Federally-sponsored evaluation. Evaluators may visit grantee sites to collect data for the evaluation. In addition, each tribal government must conduct its own evaluation or assessment of its project. The purpose of the evaluation will be to assess the impact and effectiveness of the project in developing and strengthening the tribal government's response to violent crimes against Indian women who are victims of domestic violence, sexual assault and stalking.

## ADMINISTRATIVE REQUIREMENTS

**Assurances.** The application form includes a list of assurances that the

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applicant must comply with in order to receive Federal funds under this program. It is the responsibility of the recipient of the Federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions. **This form must be submitted along with your completed application.**

**Supplanting Prohibition.** Federal funds must be used to supplement existing funds for program activities and may not replace (supplant) non-Federal funds which have been appropriated for the same purpose. Potential supplanting will be the subject of monitoring and audit. Violations can result in a range of penalties, including suspension of future funds under this program, suspension or debarment from Federal grants, recoupment of monies provided under this grant, and civil and/or criminal penalties.

**Human Subject Testing.** The Department of Justice (DOJ) is a signatory to the Federal policy on protection of human subjects of research, the "Common Rule." DOJ's incorporation of the Common Rule is set forth in 28 CFR Part 46 - Protection of Human Subjects, which requires that research involving human subjects be submitted to an independent review board for approval and that informed consent procedures be followed. The policies set forth in 28 CFR Part 46 apply to all research involving human subjects conducted, supported or otherwise subject to regulation by any Federal department or agency that has adopted the Common Rule. Federal funds may not be expended for research involving human subjects unless the requirements of this policy have been satisfied, if the research is not covered by an exemption set forth in 28 CFR section 46.101(b)(1).

The applicant must indicate whether the project or activity in its application includes research which may involve human subjects, as defined in 28 CFR Part 46.

**Certification Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-Free Workplace Requirements.** The applicant is required to complete, sign, and include a copy in its application of the Certification Regarding Lobbying, Debarment, Suspension, and Other Responsibility Matters; and Drug Free Workplace Requirements forms. By signing this certification, the applicant agrees to comply with the following requirements:

**Lobbying:** The applicant and its subgrantees, contractors and subcontracts, will not use Federal funds for lobbying and will disclose any lobbying activities.

**Debarment:** The applicant and its principals have not been debarred or suspended from Federal benefits and/or no such proceedings have been initiated against them; have not been convicted of, indicted for, or criminally or civilly charged by a government entity for fraud, violation of

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antitrust statutes, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and have not had a public transaction terminated for cause or default.

**Drug-Free Workplace :** The applicant will or will continue to provide a drug-free workplace.

Signing this form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, New Restrictions on Lobbying, and 28 CFR 67, Government-Wide Debarment and Suspension (Non-procurement) and Government-Wide Requirements for Drug Free Workplace (Grants). The certification will be treated as a material representation of the fact upon which reliance will be placed by the US Department of Justice in making awards.

**Single Point of Contact Review.** Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOC to determine if the program has been selected for State review. The date that the application was sent to the SPOC to or the reason such submission is not required should be entered in block 16 on the *Application for Federal Assistance*, SF-424.

**Civil Rights Compliance.** All recipients of Federal grant funds are required to comply with nondiscrimination requirements contained in various Federal laws. In the event that a court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to the Office of Civil Rights of the Office of Justice Programs. All applicants should consult the Assurances required with the application funds to understand the applicable legal and administrative requirements.

**NEPA Compliance.** Applicants are required to comply with Section 106 of the National Historic Preservation Act (16 U.S.C. Section 470, et seq., as amended). Specifically, prior to use of any grant funds to renovate, alter, or otherwise improve the exterior or interior of a building, hereafter referred to as proposed renovation work, applicants agree to establish identification, record keeping, reporting, consultation, and decision-making processes within its program or procedures for administering grant funds. Proposed renovation work includes work that is not specifically funded with these grant funds, but is being funded by the applicant or any third party as a prerequisite to accommodate the proposed use of grant funds. Applicants agree to contact awarding agency for additional implementation guidance before deciding on any proposed renovation work for which the applicant is unsure of the application of this condition.

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## REPORTING REQUIREMENTS

☐ **Financial Status Report.** Financial status reports (SF 269-A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every quarter the award is active even if there has been no financial activity during the reporting period. The final report is due 120 days after the end date of the award. The Office of the Comptroller will provide a copy of this form in the initial award package. Future awards and fund drawdowns may be withheld if the progress and financial status reports are delinquent.

☐ **Single Audit Report.** Recipients who expend \$300,000 or more of Federal funds during their fiscal year are required to submit an organization-wide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accounting Office Government Auditing Standards. The audit report is currently due to the cognizant Federal agency or oversight agency not later than 13 months after the end of the recipient's fiscal year. The audit report is currently due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

☐ **Semi-Annual Progress Report.** Recipients of funding are required to submit semi-annual progress reports. The progress reports describe activities during the reporting period and the status or accomplishment of objectives as set forth in the approved application for funding. Progress reports must be submitted within 30 days after the end of the reporting periods, which are January 1 through June 30 and July 1 through December 31 for the life of the award. A final report, which provides a summary of progress toward achieving the goals and objectives of the award, significant results, and any products developed under the award, is due 120 days after the end date of the award. Report forms will be provided to the recipient by the Office of the Comptroller.

**Suspension or Termination of Funding.** The Office of Justice Programs may suspend funding in whole or in part, terminate funding, or impose another sanction on a recipient for the following reasons:

- ☐ Failure to comply substantially with the requirements or statutory objectives of the Violence Against Women Act of 1994, program guidelines issued thereunder, or other provisions of Federal law;
- ☐ Failure to make satisfactory progress toward the goals or strategies set forth in this application;
- ☐ Failure to adhere to the requirements in the agreement, standard conditions, or special conditions;
- ☐ Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding;
- ☐ Filing a false certification in this application or other report or

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document; or

☐ Other good cause shown.

Before imposing sanctions, the Office of Justice Programs will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in Department of Justice regulations described in 28 CFR, part 18.

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**DEFINITIONS  
APPLICABLE  
TO THIS  
PROGRAM**

**DOMESTIC VIOLENCE** — The term *domestic violence* includes felony or misdemeanor crimes of violence committed by a current or former spouse of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction receiving grant monies, or by any other adult person against a victim who is protected from that person's acts under the domestic or family violence laws of the jurisdiction receiving grant monies.

**FORENSIC MEDICAL EXAMINATION** — The term *forensic medical examination* means an examination provided to a sexual assault victim by medical personnel trained to gather evidence of a sexual assault in a manner suitable for use in a court of law. The examination should include at a minimum:

- ☐ examination of physical trauma.
- ☐ determination of penetration or force.
- ☐ patient interview.
- ☐ collection and evaluation of evidence.

The need for additional procedures (e.g., testing for sexually transmitted diseases) to obtain evidence may be determined by the Indian tribal government in accordance with its current laws, policies, and practices.

**INDIAN TRIBE** — The term *Indian tribe* means a tribe, band, pueblo, nation, or other organized group or community of Indians, including any Alaska Native village or regional or village corporation [as defined in, or established pursuant to, the Alaska Native Claims Settlement Act (43 U.S.C. 1601 *et seq.*)], that is recognized as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. 42 U.S.C. § 2003, P.L. 103-322, Sept. 13, 1994, 108 Stat.1913 (1994).

**LAW ENFORCEMENT** — The term *law enforcement* means a tribal agency charged with policing functions, including any of its component bureaus (such as governmental victim services programs).

**PROSECUTION** — The term *prosecution* means any public office or agency charged with direct responsibility for prosecuting criminal offenders, including such office's or agency's component departments or bureaus (such as tribal governmental victim services programs). Prosecution support services, such as overseeing or participating in tribal or multi-jurisdictional domestic violence task forces, conducting training for intertribal prosecutors, or enforcing victim compensation and domestic violence-related restraining orders shall be considered "direct responsibility" for purposes of this program.

**RELATED EFFORTS** — The term *related efforts* is defined for these purposes as for:



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- ☐ the same purpose (i.e., the proposed award would supplement, expand, complement or continue activities funded with other Federal grants);
  - ☐ another phase or component of the same program/project (e.g., to implement a planning effort funded by other Federal monies, or to provide a substance abuse treatment or education component within a criminal justice project);
  - ☐ providing services of some kind (e.g., technical assistance, research, evaluation) to the program/project described in your application.

**SEXUAL ASSAULT** — The term *sexual assault* means any conduct proscribed by Chapter 109A of Title 18, whether or not the conduct occurs in the special maritime and territorial jurisdiction of the United States or in a Federal prison, and includes both assaults committed by offenders who are strangers to the victim and assaults committed by offenders who are known or related by blood or marriage to the victim.

**STALKING** — The term *stalking* means a course of conduct directed at a specific person that involves repeated visual or physical proximity, nonconsensual communication, or verbal, written or implied threats, or a combination thereof, that would cause a reasonable person fear. *Repeated* means two or more occasions.<sup>12</sup>

**UNDERSERVED POPULATIONS** — The term *underserved populations* includes populations underserved because of geographic location (such as rural isolation); underserved racial or ethnic populations; and populations underserved because of special needs, such as language barriers or physical disabilities.

**VICTIM SERVICES** — The term *victim services* means a native nonprofit, nongovernmental organization not affiliated with the tribal government that assists domestic violence or sexual assault victims, including rape crisis centers; battered women's shelters; and other sexual assault or domestic violence programs, including nonprofit, nongovernmental organizations assisting domestic violence or sexual assault victims through the legal process.

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<sup>12</sup> *Supra*, note 7, p. 2.

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**APPENDIX A**

Standard Application Form (SF-424)  
&  
Sample Completed Cover Sheet

# APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

APPLICATION FOR FEDERAL ASSISTANCE		2. DATE SUBMITTED	Applicant Identifier
1. TYPE OF SUBMISSION: <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE	State Application Identifier
<i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
5. EMPLOYER INFORMATION			
Legal Name:		Organizational Unit:	
Address (give city, county, state and zip code):		Name and telephone number of the person to be contacted on matters involving the application (give area code)	
6. EMPLOYER IDENTIFICATION (EIN) <div><input type="text"/><input type="text"/><input type="text"/> - <input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/><input type="text"/></div>		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private Industry K. Indian Tribe L. Individual M. Profit Organization N. Other (specify): _____	
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify): _____		9. NAME OF FEDERAL AGENCY:	
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div><input type="text"/><input type="text"/><input type="text"/> - <input type="text"/><input type="text"/><input type="text"/></div> TITLE:		11. DESCRIPTIVE TITLE OF APPLICANTS PROJECT:	
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):			
13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:	
Start Date	Ending Date	a. Applicant	b. Project
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal	\$ .00	a. YES, THIS PREAPPLICATION/APPLICATIN WAS MADE A VAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____	
b. Applicant	\$ .00	b. NO, <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372	
c. State	\$ .00	<input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
d. Local	\$ .00		
e. Other	\$ .00		
f. Program Income	\$ .00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
g. TOTAL	\$ .00	<input type="checkbox"/> Yes    If "Yes," attach an explanation. <input type="checkbox"/> No	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED			
a. Typed Name of Authorized Representative		b. Title	c. Telephone number
d. Signature of Authorized Representative		e. Date Signed	

## Instructions for Completion of the Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most federal agencies. This form contains 18 different items which are to be completed before submission. All applications should include a completed and signed SF 424.

Item	Instructions
1	<b>Type of Submission:</b> If this proposal is not for construction or building purposes, check the "Non-Construction" box in the application section.
2	<b>Date Submitted:</b> Indicate the date you sent the application to OJP. The "Application Identifier" is the number assigned by your jurisdiction, if any, to track applications. If your jurisdiction does not assign an identifier number, leave this space blank.
3	<b>Date Received by State:</b> Leave blank. This item is completed by the State single point of contact, if applicable.
4	<b>Date Received by Federal Agency:</b> Leave blank. This item will be completed by OJP.
5	<b>Applicant Information:</b> The "Legal Name" is the unit of government of the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. Designate one person as the contact and include their telephone number. It is not unusual for the name of the contact person to differ from the authorized representative in Item 18 below.
6	<b>Employer Identification Number:</b> Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency's accountant or comptroller.
7	<b>Type of Applicant:</b> Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering "consortium".
8	<b>Type of Application:</b> Check either "new" or "continuation". Check "new", if this will be your first award for the purpose described in the application, even if the applicant has received prior awards for other purposes. Check "continuation", if the project will continue activities of a project, including minor modifications, or implement the next phase of a project that was begun under a prior award.
9	<b>Name of Federal Agency:</b> Type in the name of the awarding agency, "[insert agency name]"
10	<b>Catalog of Federal Domestic Assistance Number:</b> This would be contained in the program announcement. The number for this program would be 16.587.
11	<b>Descriptive Title of Applicant's Project:</b> Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U.S. Department of Education; and (3) applicant's fiscal year, i.e. twelve month audit period, ex. 10/1/97 - 9/30/98.
12	<b>Areas Affected by Project:</b> Identify the geographic area(s) of the project. Indicate "Statewide" or "National", if applicable.
13	<b>Proposed Project Dates:</b> Fill in the proposed begin and end dates of the project. These dates may be adjusted by the Office of Justice Programs when the award is made.
14	<b>Congressional Districts:</b> Fill in the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate "Statewide" or "National", if applicable.
15	<b>Estimated Funding:</b> In line "a", enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will be available to the project and the source of those funds on lines "b-f," as appropriate.
16	<b>State Executive Order 12372:</b> Some states require you to submit your application to a State "Single Point of Contact" (SPOC) to coordinate applications for Federal funds within the state. If your State requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the "Administrative Requirements" section of the program announcement, for more information.) The SPOC is not responsible for forwarding your application to the Federal awarding agency.
17	<b>Delinquent Federal Debt:</b> This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.
18	<b>Authorized Representative:</b> Type in the name of the person legally authorized to enter into agreements on behalf of your agency. The signature on the original application must be signed in blue ink and/or stamped as "original" to help distinguish the original from the photocopies.

## **APPENDIX B**

### Budget Detail Worksheets



**B. Fringe Benefits** - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

Name/Position	Computation	Cost
---------------	-------------	------

**TOTAL** \_\_\_\_\_

**Total Personnel & Fringe Benefits** \_\_\_\_\_

**C. Travel** - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
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**TOTAL** \_\_\_\_\_

**D. Equipment** - List non-expendable items that are to be purchased. (Note: Organization's own capitalization policy for classification of equipment should be used). Expendable items should be included either in the "Supplies" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

<b>Item</b>	<b>Computation</b>	<b>Cost</b>
-------------	--------------------	-------------

**TOTAL** \_\_\_\_\_



Supply Items	Computation	Cost
		<b>TOTAL</b>

Purpose	Description of Work	Cost
		TOTAL _____

**G. Consultants/Contracts** - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

<b>Name of Consultant</b>	<b>Service Provided</b>	<b>Computation</b>	<b>Cost</b>
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**Subtotal** \_\_\_\_\_

**Consultant Expenses:** List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging etc.).

<b>Item</b>	<b>Location</b>	<b>Computation</b>	<b>Cost</b>
-------------	-----------------	--------------------	-------------

**Subtotal** \_\_\_\_\_

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

<b>Item</b>	<b>Cost</b>
-------------	-------------

**Subtotal** \_\_\_\_\_

**TOTAL** \_\_\_\_\_

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**H. Other Costs** - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
		TOTAL _____

**I. Indirect Costs** - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval (a fully executed, negotiated agreement) must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
		TOTAL _____

**Budget Summary** - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

<b>Budget Category</b>	<b>Amount</b>
<b>A. Personnel</b>	_____
<b>B. Fringe Benefits</b>	_____
<b>C. Travel</b>	_____
<b>D. Equipment</b>	_____
<b>E. Supplies</b>	_____
<b>F. Construction</b>	_____
<b>G. Consultants/Contracts</b>	_____
<b>H. Other</b>	_____
<b>Total Direct Costs</b>	_____
<b>I. Indirect Costs</b>	_____
<b>TOTAL PROJECT COSTS</b>	_____

**Federal Request** \_\_\_\_\_

**Non-Federal Amount** \_\_\_\_\_

## Budget Summary Worksheet

Budget Category	Allocation Amount				Total
	<i>Victim Services</i>	<i>Law Enforcement</i>	<i>Prosecution</i>	<i>Discretionary</i>	
<b>A. Personnel</b>					
<b>B. Fringe Benefits</b>					
<b>C. Travel</b>					
<b>D. Equipment</b>					
<b>E. Supplies</b>					
<b>F. Construction</b>					
<b>G. Consultants/Contracts</b>					
<b>H. Other</b>					
<b>TOTAL DIRECT COSTS</b>					
<b>I. Indirect Costs</b>					
<b>TOTAL PROJECT COSTS</b>					

*Note: 25% of Total Project Costs must be allocated to each of the 4 areas.*



OMB Approval No. 1121-0188  
Expires 5-98 (Rev. 12/97)

## Budget Detail Worksheet

**Purpose:** The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

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(Example assumes a one-year budget period and 25% match requirement)

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**A. Personnel** - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

Name/Position	Computation	Cost
Kristen Lee, Program Coordinator	(\$45,000/yr. x 100%)	\$45,000
Linda Smith, Domestic Violence Investigator	(\$23,500/yr. x 25%)	<u>\$ 5,875</u> (match) \$50,875

Kristen Lee will be the coordinator of the tribe's STOP VAIW project organizing regular team meetings between all partner agencies, ensuring compliance with program requirements, and serving as the central point of contact on project activities. She will devote 30% of her time to Law Enforcement efforts, 15% of her time to Direct Victim Services efforts, 30% of her time to Prosecution efforts, and 25% of her time to Discretionary activities.

Linda Smith will devote 25% of her time as the Domestic Violence Investigator for this project following up on cases to collect evidence for possible prosecution. Half of her time will be devoted to Victim Services efforts and the remaining time will be split evenly between efforts to strengthen the response from Prosecution and Law Enforcement.

(PLEASE NOTE WHICH ITEMS AND HOW MUCH IS GOING TO NONPROFIT, NONGOVERNMENTAL VICTIM SERVICES PROVIDERS SINCE THESE AMOUNTS ARE EXEMPT FROM THE MATCH REQUIREMENT.)

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**TOTAL \$50,875**

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**B. Fringe Benefits** - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

<b>Name/Position</b>	<b>Computation</b>	<b>Cost</b>
Kristen Lee, Program Coordinator		
Employer's FICA	\$45,000 x 7.65%	\$3,443
Retirement	\$45,000 x 4.85%	\$2,183
Health Insurance	\$45,000 x 5%	\$2,250
Workman's Compensation	\$45,000 x 1%	\$ 450
Unemployment Compensation	\$45,000 x .5%	<u>\$ 225</u>
		\$8,551
Linda Smith, Domestic Violence Investigator	\$5,875 x 19%	\$1,117 (match)

Fringe Benefits are based on established organizations rates and include FICA (7.65%), Retirement (4.85%), Health Insurance (5%), Workman's Compensation (1%), and Unemployment Compensation (.5%).

Fringe Benefits are allocated to Law Enforcement, Victim Services, Prosecution and Discretionary activities consistent with the salary allocation.

**TOTAL \$9,668**

**Total Personnel & Fringe Benefits \$60,543**

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*Note: Fringe can be shown either (1) itemized by fringe category and category percentage, or (2) calculated on the total percentage of fringe (as in this case 19%) which must include the basis for the established organizations rates.*

**C. Travel** - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3- day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved, Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

<b>Purpose of Travel</b>	<b>Location</b>	<b>Item</b>	<b>Computation</b>	<b>Cost</b>
VAWO Mandated Travel* (including OJP Office of the Comptroller financial management training)	Unknown			\$12,000
Training-Sacred Circle	Rapid City, SD		Airfare (\$300 x 1)	\$ 300
			Lodging & Per Diem (\$84/night x 3)	\$ 252
(Program Coordinator will attend 2½ day Institute training in Rapid City, SD)				
Mileage for Program Coordinator travel to rural sites to provide training.	local		(200 mi./mo. X 12) (2,400 mi. x \$.31/mi.)	\$ 744

The \$12,000 VAWO training has been budgeted in accordance with the program guidelines. The site of all of the training sessions are unknown at this time. This travel is included in the Discretionary allocation of costs.

The Sacred Circle Institute in Rapid City will provide training for a women's advocate. This travel is included in the Victim services allocation of costs.

(PLEASE NOTE WHICH ITEMS AND HOW MUCH IS GOING TO NONPROFIT, NONGOVERNMENTAL VICTIM SERVICES PROVIDERS SINCE THESE AMOUNTS ARE EXEMPT FROM THE MATCH REQUIREMENT.)

The mileage cost is allocated to the prosecution section of the budget. The Project Coordinator will travel to rural shelters and law enforcement offices to provide training on domestic violence issues. Note: All mileage is budgeted in accordance with established organizational travel policy.

**TOTAL** **\$13,296**



**D. Equipment** - List non-expendable items that are to be purchased. (Note: Organization's own capitalization policy for classification of equipment should be used). Expendable items should be included in the "Supplies" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
Computers (4)	\$5,132.25 x 4 computers & printers	\$20,529*
Video Cameras (2)	\$ 850 x 2 cameras	\$ 1,700

Computers to provide networking between Law Enforcement, Tribal Court, Victim Services and Prosecution.

The computers will provide the opportunity for all components to be connected on the same network. This will provide an efficient means of storing and retrieving pertinent victim data, as well as information on offenders. The cost of one computer and printer has been allocated to each of the four budget areas.

The video cameras will be used during the interviews of alleged offenders, as well as with witness testimony. The cost of one camera has been allocated to Law Enforcement and another to the Discretionary portion of the budget

\* \$13,508 of the equipment will be contributed as match.

Note: Equipment purchased in accordance with written procurement policy. Organization's capitalization policy for individual items of equipment is \$500.00 or greater.

(PLEASE NOTE WHICH ITEMS AND HOW MUCH IS GOING TO NONPROFIT, NONGOVERNMENTAL VICTIM SERVICES PROVIDERS SINCE THESE AMOUNTS ARE EXEMPT FROM THE MATCH REQUIREMENT.)

**TOTAL** \$22,229

**E. Supplies** - List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

<b>Supply Items</b>	<b>Computation</b>	<b>Cost</b>
Training materials (includes paper, notebooks, pencils, etc.)	(\$3/set x 600 sets)	\$1,800
General Office Supplies (includes copy paper, typewriter ribbons, pens, paper clips, etc.)	(\$50/mo. x 12 mos.)	\$ 600
Battered Women's Kits (includes toiletries such as soap, toothbrush, hairbrush, etc.)	(\$25 x 50)	\$1,250 (match)
Infant/Children's Kits	(\$35 x 50)	\$1,750 (match)

The training materials will be used for a number of different programs. The cost is based on training materials developed for previous STOP VAIW programs. Because the training materials will be used throughout all areas of the program, we have allocated this cost to the Discretionary portion of the budget. The supplies include general office supplies which will be used throughout the project. These costs have been allocated to the Discretionary portion of the budget.

The Battered Women's & Infant/Children's Kits will be provided to victims and their children who seek assistance from the project. This estimated cost is based on previous kit prices from other STOP VAIW programs. We estimate at least 50 kits will be needed. These costs have been allocated to the Victim Services portion of the budget.

**TOTAL**     \$5,400    

**F. Construction** - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable, Consult with the program office before budgeting funds in this category.

<b>Purpose</b>	<b>Description of Work</b>	<b>Cost</b>
NOT APPLICABLE		
		<b>TOTAL</b> <u>    \$0    </u>

**G. Consultants/Contracts** - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
Joanne Cox	Sexual Assault Training	\$450/day x 2 days	\$ 900
Unknown (2)	Domestic Violence Training	\$450/day x 2 days	\$1,800

Consultants will be training law enforcement, medical and social services personnel for the tribe. The main focus of the training will be for the treatment of victims because the recovery of victims is a delicate and lengthy process. Some training will be geared toward the Law Enforcement areas. The consultant rates will not exceed \$450/day. The consultant rates and travel costs have been allocated to the Law enforcement and Victim Services areas of the budget.

Subtotal \$2,700

**Consultant Expenses:** List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
Joanne Cox	Rapid City, SD	Mileage: 800 miles x \$.31/mi.	\$248
		Lodging & Per Diem: \$114/day x 3 days	\$342
Unknown Consultant	Rapid City, SD	Airfare	\$300
		Lodging & Per Diem: \$114/day x 3 days	\$342

All travel costs are based on established organizational travel policy.

Subtotal \$1,232

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
NOT APPLICABLE	
	Subtotal <u>\$0</u>
	<b>TOTAL <u>\$3,932</u></b>

**H. Other Costs** - List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

<b>Description</b>	<b>Computation</b>	<b>Cost</b>
"Outreach to Women" Meetings	Room rental, printed materials (3 meetings x \$200/meeting)	\$ 600
Administrative Cost (5%) (PROVIDE A BREAKDOWN OF WHAT THIS WILL PAY FOR)		\$4,500
<p>The Outreach to Women" Meetings will be primarily for victims of domestic violence /sexual assault to inform women of their rights and available services resources in the community, however, anyone is welcome to attend. The meetings will be held every 4 months. The cost of the meeting will be \$150 room rental and \$50 printed pamphlets, fact sheets and help line info. This is included in the Victim Services portion of the budget.</p> <p>Because the administrative costs allowance support all areas of the project, the administrative costs will be allocated to the Discretionary portion of the budget.</p> <p>(PLEASE NOTE WHICH ITEMS AND HOW MUCH IS GOING TO NONPROFIT, NONGOVERNMENTAL VICTIM SERVICES PROVIDERS SINCE THESE AMOUNTS ARE EXEMPT FROM THE MATCH REQUIREMENT.)</p>		
		<b>TOTAL <u>\$5,100</u></b>

**I. Indirect Costs** - Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, ( a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

<b>Description</b>	<b>Computation</b>	<b>Cost</b>
		<b>TOTAL <u>\$0</u></b>

**Budget Summary** - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

<u>Budget Category</u>	<u>Amount</u>
A. Personnel	<u>\$ 50,875</u>
B. Fringe Benefits	<u>\$ 9,668</u>
C. Travel	<u>\$ 13,296</u>
D. Equipment	<u>\$ 22,229</u>
E. Supplies	<u>\$ 5,400</u>
F. Construction	<u>\$ 0</u>
G. Consultants/Contracts	<u>\$ 3,932</u>
H. Other	<u>\$ 5,100</u>
Total Direct Costs	<u>\$ 110,500</u>
I. Indirect Costs	<u>\$ 0</u>
TOTAL PROJECT COSTS	<u>\$ 110,500</u>
Federal Request	<u>\$ 82,875</u>
Non-Federal Amount	<u>\$ 27,625</u>

**Mandatory Allocation and Match Calculation:**

Award	\$82,875
Less - Travel	- 12,000
Admin. (5%)	<u>- 4,500</u>
	\$66,375 ÷ 75% = <b>\$88,500</b>

**Adjusted Total Project Costs: \$88,500**

x 25%

\$22,125 required match

# Sample

## Budget Summary Worksheet

Budget Category		Allocation Amount				Total
		<i>Victim Services</i>	<i>Law Enforcement</i>	<i>Prosecution</i>	<i>Discretionary</i>	
A. Personnel		\$9,687	\$14,969	\$14,969	\$11,250	\$50,875
B. Fringe Benefits		\$1,841	\$2,845	\$2,845	\$2,137	\$9,668
C. Travel		\$552	0	\$744	\$12,000	\$13,296
D. Equipment		\$5,557	\$5,557	\$5,557	\$5,558	\$22,229
E. Supplies		\$3,000	0	0	\$2,400	\$5,400
F. Construction		0	0	0	0	0
G. Consultants/Contracts		\$1,966	\$1,966	0	0	\$3,932
H. Other		\$600	0	0	\$4,500	\$5,100
TOTAL DIRECT COSTS		\$23,203	\$25,337	\$24,115	\$40,845	\$110,500
I. Indirect Costs		0	0	0	0	0
TOTAL PROJECT COSTS		\$23,203	\$25,337	\$24,115	\$40,845	\$110,500

*Note: 25% of Total Project Costs must be allocated to each of the 4 areas.*

# Sample

## Budget Detail for OJP -Mandated Travel

A tribal team consisting of the following individuals and areas (tribal leader, tribal court judge, law enforcement, women's advocate, prosecution) is required to attend specialized training on violence against Indian women:

OJP Mandated Training	Computation	Costs
STRATEGIC PLANNING	airfare: 5 persons x \$350 per diem*: 5 persons x \$128 x 4 days	\$1,750 <u>\$2,560</u> \$4,310
REGIONAL / INSTITUTES	airfare: 5 persons x \$350 per diem*: 5 persons x \$128 x 4 days	\$1,750 <u>\$2,560</u> \$4,310
PROMISING PRACTICES	airfare: 5 persons x \$350 per diem*: 5 persons x \$128 x 4 days	\$1,750 <u>\$2,560</u> \$4,310
FISCAL TRAINING	airfare: 1 - 2 persons x \$350 per diem*: 1 - 2 persons x \$128 x 2 days	\$ 700 <u>\$ 512</u> \$1,212
TOTAL FOR TRAVEL COSTS		\$14,142

Individual team members may also attend specialized training within their professional areas. Funds for these activities may be allocated from the applicable allocation area. For example, a Domestic Violence Investigator may attend training on enforcing the full faith and credit provision of the Violence Against Women Act.

Law Enforcement	airfare: 1 - 2 persons x \$350 per diem*: 1 - 2 persons x \$128 x 2 days	\$ 700 <u>\$ 512</u> \$1,212
Victim Services	airfare: 1 - 2 persons x \$350 per diem*: 1 - 2 persons x \$128 x 2 days	\$ 700 <u>\$ 512</u> \$1,212
Prosecution/Judge(s)	airfare: 1 - 2 persons x \$350 per diem*: 1 - 2 persons x \$128 x 2 days	\$ 700 <u>\$ 512</u> \$1,212

\* Per diem includes lodging (\$90) and meals and incidental expenses (\$38).

All costs are estimates since the locations of the specialized training meetings have yet to be determined.

## **APPENDIX C**

### **Certification of Compliance with the Statutory Eligibility Requirements of the Violence Against Women Act for Tribal Governments**



U.S. Department of Justice  
Office of Justice Programs  
Violence Against Women Program Office



## Certification of Compliance with the Statutory Eligibility Requirements of the Violence Against Women Act for Tribal Governments

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature on this form provides for compliance with certification requirements under 28 CFR Part 90, "Rape Exam Payment Requirement" and "Filing Costs for Criminal Charges." The certifications shall be treated as a material representation of fact upon which the Department of Justice will rely when it determines to award the covered transaction, grant, or cooperative agreement.

Any Indian Tribal Government will be qualified for funds under the Violence Against Women Act, based on Section 2002(b)(1), upon certification that:

- 1) the funds will be used only for the seven purposes described in 42 U.S.C. 3796gg(b) under the "Grants to Combat Crime Against Women" program authority;
- 2) grantees and subgrantees will develop a plan for implementation and consult and coordinate with nonprofit, nongovernmental victim service programs, including sexual assault and domestic violence victim service providers in the development of this plan;
- 3) at least 25 percent of the amount granted will be allocated, without duplication, to each of the following three (3) areas: prosecution, law enforcement, and victim services, as these terms are defined in the Regulations. Indian tribal governments which do not have law enforcement authority are not subject to the requirement that 25% of the total grant award be allocated to law enforcement and 25% to prosecution; and
- 4) any federal funds received under this subchapter will be used to supplement, not supplant, non-federal funds that would otherwise be available for activities funded under this chapter.

In addition, as required by sections 2005 and 2006 of Title IV of the Violent Crime Control and Law Enforcement Act of 1994, Pub. L. 103-322 (September 13, 1994), which, in part, amends the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 U.S.C. § 3711 *et seq.* [by adding a new 'Part T'. Part T comprises Sections 2001 through 2006, codified at 42 U.S.C. §§3796gg through 3796gg-5], and implemented at 28 CFR Part 90, for persons entering into a grant or cooperative agreement, as defined at 28 CFR Part 90, the applicant certifies that:

### 1) Forensic Medical Examination Payment Requirement for Victims of Sexual Assault

a) An Indian tribal government will not be entitled to funds under this program unless the Indian tribal government (or other governmental entity) incurs the full out-of-pocket costs of forensic medical examinations for victims of sexual assault.

b) An Indian tribal government will be deemed to incur the full out-of-pocket cost of forensic medical examinations for victims of sexual assault if the Indian tribal government or other governmental entity:

- 1) provides such examinations to victims free of charge;
- 2) arranges for victims to obtain such examinations free of charge; or
- 3) reimburses victims for the cost of such examinations if:
  - i) the reimbursement covers the full cost of such examinations, without any deductible requirement or limit on the amount of reimbursement;

ii) the governmental entity permits victims to apply for reimbursement for not less than one year from the date of the examination;

iii) the governmental entity provides reimbursement not later than ninety (90) days after written notification of the victim's expense; and

iv) the governmental entity provides information at the time of the examination to all victims, including those with limited or no English proficiency, regarding how to obtain reimbursement. Section 2005 (b), codified at 42 U.S.C. 3796gg-4(b).

## 2) Filing Costs For Criminal Charges

a) An Indian tribal government will not be entitled to funds unless it:

1) certifies that its laws, policies, and practices do not require, in connection with the prosecution of any misdemeanor or felony domestic violence offense, that the victim bear the costs associated with the filing of criminal charges against the domestic violence offender, or the costs associated with the issuance or services of a warrant, protection order, and witness subpoena; or

2) assures that its laws, policies, and practices will be in compliance with the requirements of paragraph (a) of this section by the date September 13, 1996 (Section 2006), codified at 42 U.S.C. 3796gg-5.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

\_\_\_\_\_  
Typed Name of Authorized Representative

\_\_\_\_\_  
Title

\_\_\_\_\_  
Telephone Number

\_\_\_\_\_  
Signature of Authorized Representative

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Agency Name

## **APPENDIX D**

### **Assurances**

## ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976, Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of Investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the non-discrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C,D,E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

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## **APPENDIX E**

### **Certifications Regarding Lobbying; Debarment, Suspension and other Responsibility Matters; and Drugfree Workplace Requirements**



U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
OFFICE OF THE COMPTROLLER

## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUGFREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its Instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510, -

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local)

transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### 3. DRUGFREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the DrugFree Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67, Sections 67.615 and 67.620 —

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drugfree awareness program to inform employees about —

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drugfree workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted —

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check ☐ if the State has elected to complete OJP Form 4061/7.

## DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620 —

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(See reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> <input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance	<b>2. Status of Federal Action:</b> <input type="checkbox"/> a. bld/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post award	<b>3. Report type:</b> <input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change <b>For Material Change Only:</b> year _____ Quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> <input type="checkbox"/> Prime <input type="checkbox"/> Subawardee Tier _____, <i>if known</i>  Congressional District, <i>if known</i> :	<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</b>   Congressional District, <i>if known</i> :	
<b>6. Federal Department/Agency:</b>	<b>7. Federal Program Name/Description:</b>   CDFA Number, <i>if applicable</i> : _____	
<b>8. Federal Action Number, <i>if known</i>:</b>	<b>9. Award Amount, <i>if known</i>:</b> \$	
<b>10. a. Name and Address of Lobbying Entity (if individual, last name, first name, MI)</b>	<b>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI)</b>	
<b>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of the fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</b>	<b>Signature:</b> _____ <b>Print Name:</b> _____ <b>Title:</b> _____ <b>Telephone No.:</b> _____ <b>Date:</b> _____	
<b>Federal Use Only:</b>		<b>Authorized for Local Reproduction Standard Form - LLL</b>



## INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identifying the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001".
9. For a covered Federal action where there has been an award or loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI)>
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046); Washington, D.C. 20503.
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## **APPENDIX F**

### **Sample Non-Supplantation Letter**

**[Tribal Letterhead]**

**[date]**

**Ms. Laurie Robinson  
Assistant Attorney General  
Office of Justice Programs  
810 7<sup>th</sup> Street, NW – 6<sup>th</sup> Floor  
Washington, DC 20531**

**Dear Ms. Robinson:**

**The [name of] Tribe certifies that any funds awarded through the STOP Violence Against Indian Women Discretionary Grant Program will be used to supplement existing funds for program activities and will not replace (supplant) non-Federal funds that have been appropriated for the purpose of programs to combat violence against Indian women. The [name of] Tribe understands that supplantation violations can result in a range of penalties, including suspension of future funds under this program, suspension or debarment from Federal grants, recoupment of monies provided under this grant, and civil and/or criminal penalties.**

**Sincerely,**

**[Tribal Leader Name and Title]**

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## **APPENDIX G**

### **Single Points of Contact**

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## INTERGOVERNMENTAL REVIEW PROCESS

Executive Order 12372 requires applicants from State and local units of government or other organizations providing service within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. You must contact your State SPOC to find out if this program has been selected for review by your State.

In accordance with Executive Order #12372, "Intergovernmental Review of Federal Programs," Section 4, the Office of Management and Budget (OMB) shall maintain a list of official State entities designated by the States to review and coordinate proposed Federal financial assistance and direct Federal development. This listing is the OFFICIAL OMB LISTING. This listing is also published in the Catalogue of Federal Domestic Assistance biannually.

States that are not listed no longer participate in the intergovernmental review process but MAY still apply for grants. These include: Alaska; American Samoa; Colorado; Connecticut; Kansas; Hawaii; Idaho; Louisiana; Massachusetts, Minnesota; Montana; Nebraska; Oklahoma; Oregon; Pennsylvania; South Dakota; Tennessee; Virginia; and Washington. This list is based on the most current information provided by the States. Changes to the list will only be made upon formal notification by the State.

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### ARIZONA

Joni Saad  
Arizona State Clearinghouse  
3800 N. Central Avenue  
Fourteenth Floor  
Phoenix, Arizona 85012

Telephone (602) 280-1315  
FAX: (602) 280-1305

### ARKANSAS

Mr. Tracy L. Copeland  
Manager, State Clearinghouse  
Office of Intergovernmental Services,  
Department of Finance and Administration  
1515 W. 7th St., Room 412  
Little Rock, Arkansas 72203

Telephone: (501) 682-1074  
FAX: (501) 682-5206  
tlcopeland@dfa.state.ar.us

### CALIFORNIA

Grants Coordinator  
Office of Planning & Research  
1400 Tenth Street, Room 121  
Sacramento, California 95814

Telephone (916) 323-7480  
FAX (916) 323-3018

### DELAWARE

Francine Booth  
State Single Point of Contact  
Executive Department  
Thomas Collins Building

P.O. Box 1401  
Dover, Delaware 19903

Telephone: (302) 739-3326  
FAX: (302) 739-5661  
fbooth@state.de.us

### DISTRICT OF COLUMBIA

Charles Nichols  
State Single Point of Contact  
Office of Grants Mgmt. & Development.  
717 14th Street, N.W. - Suite 500  
Washington, D.C. 20005

Telephone: (202) 727-6554  
FAX: (202) 727-1617

### FLORIDA

Florida State Clearinghouse  
Department of Community Affairs  
2740 Centerview Drive  
Tallahassee, Florida 32399-2100

Telephone: (904) 922-5438  
FAX: (904) 487-2899  
cherie.trainor@dcs.state.fl.us

### GEORGIA

Deborah Stephens  
Administrator  
Georgia State Clearinghouse  
254 Washington Street, S.W. - Room 401J  
Atlanta, Georgia 30334

Telephone: (404) 656-3855 or  
FAX: (404) 656-7901

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ssda@mail.opb.state.ga.us

**ILLINOIS**  
Virginia Bova  
State Single Point of Contact  
Department of Commerce and Community  
Affairs  
620 East Adams  
Springfield, Illinois 62701

Telephone: (217) 814-6028  
FAX: (217) 814-1800

**INDIANA**  
Frances Williams  
State Budget Agency  
212 State House  
Indianapolis, Indiana 46204

Telephone: (317) 232-2972  
FAX: (317) 233-3323

**IOWA**  
Steven R. McCann  
Division for Community Assistance, Iowa  
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